

FORM PTO-1390 (REV. 11-2000)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 33550	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 09/831419	
INTERNATIONAL APPLICATION NO. PCT/JP99/06197		INTERNATIONAL FILING DATE 08 November 1999 (08.11.99)		PRIORITY DATE CLAIMED 10 November 1998 (10.11.98)	
TITLE OF INVENTION FUNCTIONAL CHITOSAN DERIVATIVE					
APPLICANT(S) FOR DO/EO US YURA, Hirofumi; SAITO, Yoshio; ISHIHARA, Masayuki; ONO, Katsuaki; SAEKI, Shiro					
Applicant herewith submits to the United States Designated Elected Office (DO/EO/US) the following items and other information:					
1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11 to 20 below concern document(s) or information included: 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A FIRST preliminary amendment. 14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 17. <input type="checkbox"/> A copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 18. <input type="checkbox"/> A copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input type="checkbox"/> A copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).					

U.S. APPLICATION NO. (if known) 09/83141

INTERNATIONAL APPLICATION NO.
PCT/JP99/06197ATTORNEY'S DOCKET NUMBER
3355021. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO \$1000.00International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$860.00International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00**ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS PTO USE ONLY**

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☒ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	13 - 20 -	0	x \$18.00
Independent claims	1 - 3 -	0	x \$80.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00
TOTAL OF ABOVE CALCULATIONS =			\$ 1,260.00

\$

\$ -----

\$ -----

\$ 270.00

TOTAL OF ABOVE CALCULATIONS =

\$ 1,260.00

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2. +

\$ 630.00

SUBTOTAL =

\$ 630.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$ -----

TOTAL NATIONAL FEE =

\$ 630.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ -----

TOTAL FEES ENCLOSED =

\$ 630.00

Amount to be
refunded:

\$

charged:

\$

- a. ☒ A check in the amount of \$ 630.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 16-0820. A duplicate copy of this sheet is enclosed.
Order No. 33550
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

Jeffrey J. Sopko
Pearne & Gordon LLP
506 Second Avenue, New York, NY 10022

SIGNATURE

Jeffrey J. Sopko

TELEPHONED, TELETYPE

09/831419

JCD8 Rec'd PCT/PTO 09 MAY 2001

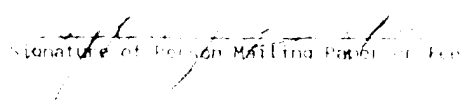
"EXPRESS MAIL" MAILING LABEL CERTIFICATE

Re: U.S. PCT-based Patent Application for
"FUNCTIONAL CHITOSAN DERIVATIVE"
International Application No.: PCT/JP99/06197
International Filing Date: November 8, 1999
Attorney's Docket No.: 33550

"Express Mail" mailing label number EL609747525US

Date of Deposit May 9, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Assistant Commissioner for


Signature of Person Mailing Paper or Fee